

Procedures and Guidelines

DIRECTIVE NO. 900-PG-1310.1.1A
EFFECTIVE DATE: February 7, 2001
EXPIRATION DATE: N/A

APPROVED BY Signature: Original Signed By
NAME: Franco Einaudi
TITLE: Director of Earth Sciences

Responsible Office: 900/Earth Sciences Directorate

Title: Proposal Review Process

PREFACE

P1. PURPOSE

The purpose of this procedure is to describe the proposal review process in the Earth Sciences Directorate (ESD), which will ensure high quality proposals while preserving resources in their preparation.

P2. REFERENCES

GPG-1310.1 Customer Commitments and Agreements
GPG-1310.2 Signature Process for Announcement of Opportunity Proposals
700-PG-1310.1.2 Proposal Development

P3. SCOPE

All proposals, either to NASA or to other Agencies that meet the Center threshold criteria (GPG-1310.1) must go through this process. This will normally include all AO proposals and some NRA proposals for development. Proposals that fall below the Center threshold criteria may be approved by the Director of Earth Sciences without using all the steps in this process. This will include most NRA proposals unless deemed critical for future work. The Director of Earth Sciences must approve all proposals before they are submitted to the New Business Committee (NBC).

P4. DEFINITIONS

AO -Announcement of Opportunity
ESD -Earth Sciences Directorate
IMDC -Integrated Mission Design Center
ISAL -Instrument Synthesis and Analysis Laboratory
NBC -New Business Committee
NBPR -New Business Review Panel (900/ESD)
NRA -NASA Research Announcement
PDL -Product Design Lead- The person with the responsibility for managing the activity.
PI -Principal Investigator

P5. AUTHORITIES AND RESPONSIBILITIES

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

P6. CANCELLATION

900-PG-1310.1.1 Proposal Review Process

P7. QUALITY RECORDS

Quality Record Title	Record Custodian	Retention
Concepts reviewed, selected	Directorate Office Secretary	2 years
Final review route sheet	Directorate Office Secretary	Approved proposals: 5 years after close of proposal activity. Unapproved proposals: At least one year.

IMPLEMENTATION

In anticipation of an opportunity that will exceed the Center funding and manpower threshold (see GPG-1310.1) the proposer electronically submits a statement of intent (not to exceed three pages) to the Director of Earth Sciences outlining the concept, opportunity, and a rough estimate of the anticipated resources (cost and workforce) needed to prepare the proposal and to carry out the development program. The Director of Earth Sciences can explicitly reject it, or implicitly accept it at this stage, i.e.; a response is required for acceptance or rejection at this stage. For proposals below the Center threshold the process can go directly to proposal preparation.

Several months prior to the anticipated proposal due date there will be a call for the ESD New Business Review Panel (NBRP) to review the proposal. This lead-time will vary, i.e., longer or shorter, depending on the opportunity. The proposers will present the concept (science, technology, and resources) to the NBRP. The NBRP consists of scientists and engineers and is chaired by the Director of Earth Sciences or a designated representative. STAAC and AETD will participate as members of the review panel. The NBRP will recommend proposals to the Director of Earth Sciences that should be forwarded to the New Business Committee (NBC). The Director of Earth Sciences can choose to: 1) reject some proposals at this stage, 2) continue with all or, 3) continue with some through an optional short concept definition phase. A single point of contact from STAAC will be identified to work with each proposer in this definition phase. The proposers, with STAAC support, will work issues from the NBRP and prepare cost and schedule information. A list of concepts reviewed and selected will be kept as a quality record.

Following a successful review by the NBRP, the proposers will prepare for the NBC presentation. The NBC will meet prior to the proposal submission due date to evaluate and make Center recommendations for proposals. They may accept, reject or provide other guidance on the disposition of a proposal. The former would lead to proposal preparation and submission. The proposal preparation process is described elsewhere, for example the Blue and Red Team reviews (700-PG-1310.1.2). The proposal preparation process might include work sessions in IMDC and ISAL. The final review by the ESD is a brief review of the science, resources, and management sections of the proposal. The signed route sheet is the quality record for the proposal review. In summary, if the proposal meets the NBC threshold

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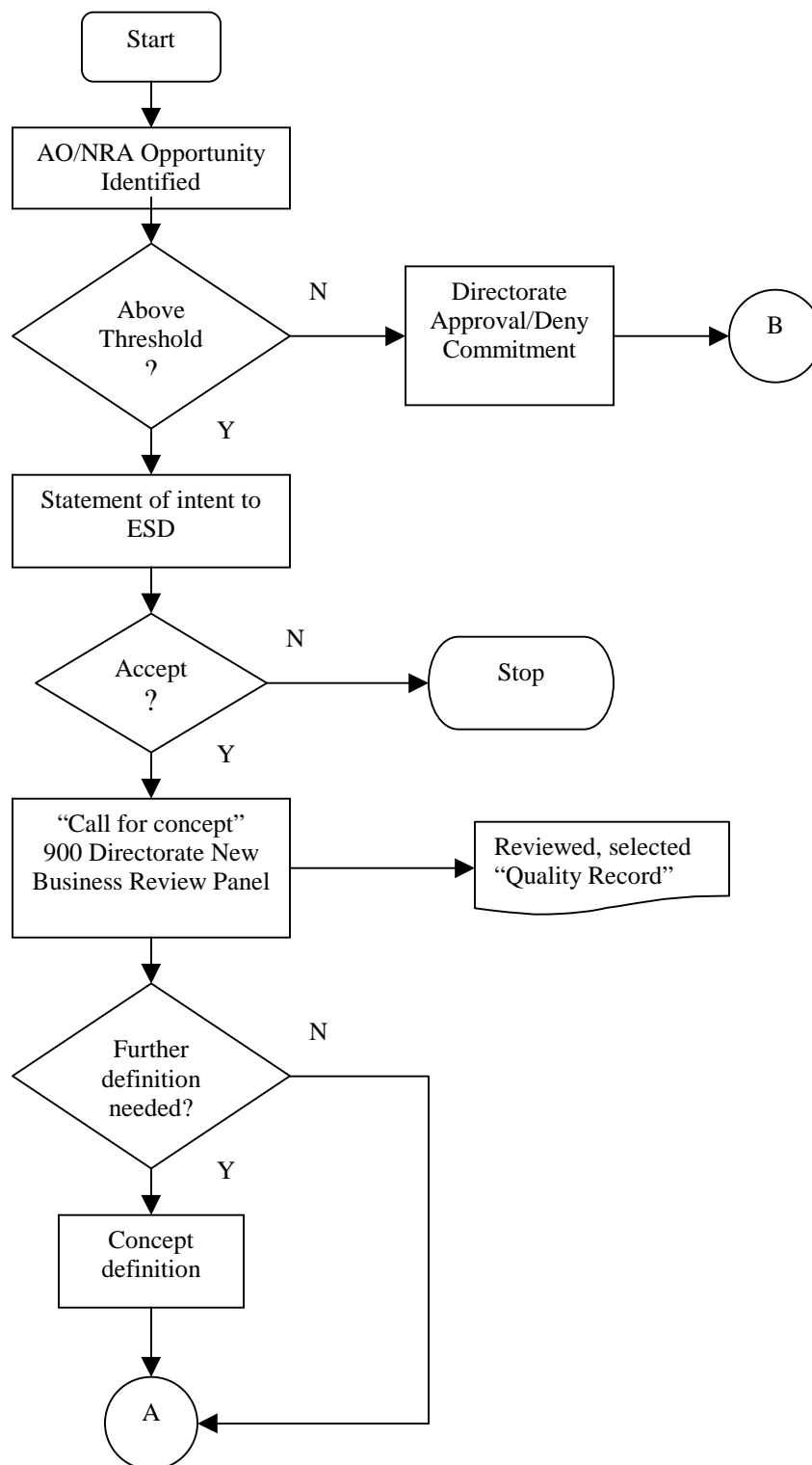
criteria and has been approved by the NBC, then the Center policy (GPG-1310.2) on signatures should be followed and the quality records maintained accordingly.

For various reasons it is not always possible to follow the above schedule, e.g., collaborations might be late in forming. In this case, which should be the exception, a subsidiary process is necessary. A science/engineering review at some level, to be determined by the Director of Earth Sciences, is necessary to evaluate the proposal concept before the Center is asked to commit resources. Because of the late submission, the burden of proof on the proposer is much higher than it would have been if the proposal concept were reviewed earlier by the NBRP. Following this the Director of Earth Sciences decides on whether to present the proposal to the NBC. If approved by the NBC a formal proposal submission is prepared.

All proposals being submitted by the Director of Earth Sciences must have a signature route sheet (Quality Record) which must contain the proposal name, and evidence of science/technical review, resources review, and management review. All entries on the route sheet must be completed either by the person listed or by someone authorized to sign for that person. This includes the last entry on the sheet, i.e., the last person to receive the sheet.

If it becomes necessary to amend the proposal before it is submitted changes will be made and resubmitted for the final review process. Revisions to the proposed work may become necessary during implementation. The ESD manager responsible (e.g., PI or PDL) for the work informs the customer and works with the customer to redefine the task. The change is then formally made and controlled through the configuration control process of the appropriate project, i.e., either the ESD project or the customer project. Often there is an intermediate customer at the Center for an ESD product. For example, an ESD instrument might be delivered to a flight project. In this case, the intermediate customer is notified and is responsible for the customer notification and formal change.

If a submitted proposal added to the Orders and Proposals List is rejected by the customer this rejection will be recorded on the List and no further action is required.



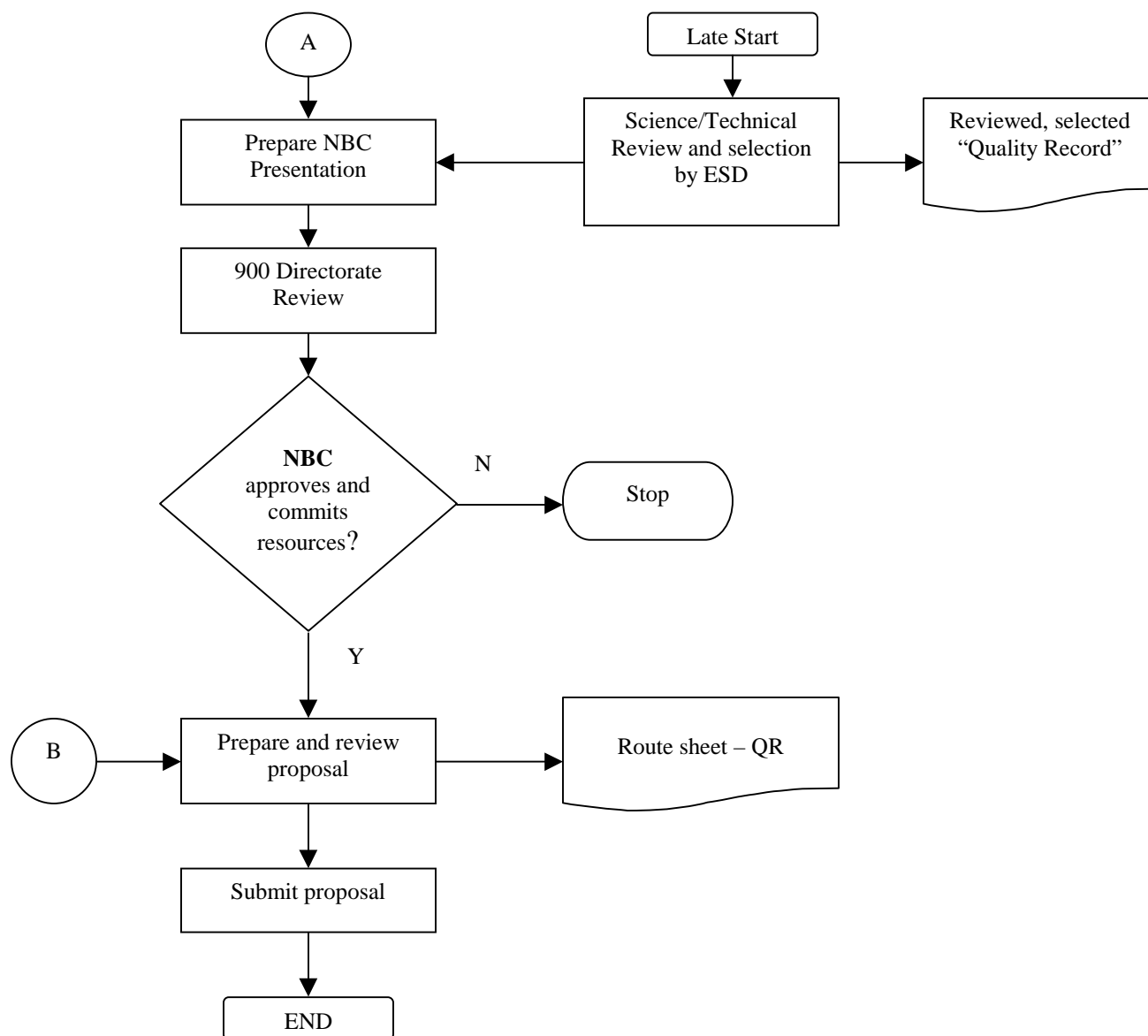


Figure 1 – ESD Proposal Review Process

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CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	4/7/1999	Original PG written to augment GPG-1310.1 by providing more 900-specific activities and controls. Original Release.
A	02/07/01	Rewrote the original document and simplified the process by removing steps. Changed Quality Records (QR) and added retention time. Added the ESD New Business Review Panel (NBRP) and completion of the route sheet as a Quality Record.